

Chapter 1--Program

BUS Division Quality Management Plan

Overview The BUS Division Quality Management Plan (QMP) is included herein to provide an understanding of the drivers, responsibilities, and methods for implementation of quality assurance in conducting the Division's operations.

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BUS Division Quality Management Plan

Introduction

The purpose of the Business Operations (BUS) Division is to enable our Laboratory to accomplish national goals by providing world-class, innovative business services through empowered people. BUS is a service organization with internal customers that require accounting, budgeting, financial analysis, travel, payroll, procurement, materials management, transportation, and property management services. External customers and stakeholders include the University of California, the community in which we operate, the Department of Energy, and other governmental agencies.

Significant quality related goals are: satisfaction of customer and stakeholder needs and expectations, increasing cost effectiveness, and continuous improvement in support of Laboratory business objectives. These goals must be achieved while maintaining compliance with applicable laws, regulations, Prime Contract provisions, and University and Laboratory policies.

Purpose

The purpose of the BUS Quality Management Plan (QMP) is to describe BUS Division Quality Program requirements that respond to the requirements of the Laboratory Quality Management Plan (PRD110-01) that satisfy the requirements of the criteria of DOE Order 5700.6C and that promote quality assurance in the conduct of the Division's operations. The QMP outlines Program requirements; defines Division-level responsibilities; and provides guidance for how the Division will implement, assess, and document its Quality Program.

This plan supersedes the MAT Division Quality Management Plan (MAT Safety Manual, subject 11.01, 9/93).

Scope

The Quality Program described herein applies to all BUS organizations, employees, and contract personnel. When specified in contractual documents, the Program will apply to subcontractors. The QMP will apply to other Laboratory organizations that support BUS Division where an agreement exists to define such applicability as a requirement.

Definitions

Definitions

Assessment/verification: The act of reviewing, inspecting, testing, checking, conducting surveillance, auditing, or otherwise determining and documenting whether materials, items, processes, or services meet the specified requirements.

Item: An all-inclusive term used in place of any of the following: appurtenance, facility, sample, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, unit, documented concepts, or data.

Process: A series of actions that achieves an end or result.

Procurement: Obtaining or acquiring materials, items, or services. Also used to refer to the organizational elements within BUS Division that issue procurement subcontracts and purchase orders.

Quality: The degree to which materials, items, or processes meet or exceed the user's requirements and expectations.

Quality assurance (QA): Actions that provide confidence that quality is achieved.

Senior management: The manager or managers responsible for purpose accomplishment and overall operations. For BUS Division, the Division Director and Deputy are responsible for purpose accomplishment and overall operations.

Service: The performance of work, such as procurement, transportation, administration, or inspection.

Subcontractors: Recipients of Laboratory subcontracts or purchase orders (also known as suppliers or vendors).

Work: Process of performing a defined task or activity; for example, administering a purchase order or subcontract, receiving a shipment, developing a procedure, transporting items, or entering data.

Requirements

Background	<p>The structure and content of this section are based upon the 10 criteria of DOE Order 5700.6C. In the event that the BUS Division QMP is revised, the revised document will be submitted to the Quality Assurance Support Group (ESH-14) for information purposes.</p>
Program	<p>BUS senior management is responsible for implementation, assessment, and improvement of the BUS Quality Program. Senior management is committed to integration of useful quality management tools and techniques into its approach to business to satisfy customer requirements, ensure compliance, and achieve continual improvement. The BUS QMP describes the foundation for achieving these aims.</p> <p>Within BUS, written subelement Quality Management Plans will be developed for operational business elements of the Division as necessary to supplement this plan. Subelement QMPs will address the key activities and management controls necessary to implement effective QA and to address the requirements of the Laboratory's QMP.</p> <p>BUS Division maintains a Business Plan to document the purpose, vision, organizational structure, management framework, and strategic initiatives of the Division. The Business Plan is revised annually to reflect changes in the operating environment and ensure alignment with institutional plans.</p> <p>A Quality Support Team assigned to BUS by the Laboratory's Quality Assurance Support Group provides support to BUS Division.</p>

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Requirements, Continued

Personnel training and qualification

Overall authority and responsibility for training and qualification of BUS personnel resides with the Division Director. The training needs of the Division's personnel will receive detailed consideration in allocating resources. Line managers are responsible for ensuring that their employees are trained and qualified to perform their assigned duties.

BUS Division personnel shall be trained and qualified to ensure that they are capable of performing their assigned work to acceptable quality standards. Certifications shall be obtained and maintained as necessary. Training shall not be limited to employees' basic qualification skills, but shall also include professional development opportunities within the scope of the BUS purpose.

The minimum education, experience, and other initial qualification requirements for positions within BUS Division shall be established and documented, and the hiring of employees shall be conducted in accordance with applicable subsections of Laboratory Administrative Manual (AM), Section 100. A documented determination of a candidate's initial qualifications is maintained by Laboratory Personnel Services (PS) in accordance with established PS procedures.

Each BUS group leader has responsibility for coordination of training activities, curriculum development, and scheduling of training for its group with consideration of the following:

- Line management determines qualification skills and certification requirements for each position description in accordance with applicable Laboratory personnel policies and procedures. Professional development goals are established jointly by employees and line management during the performance evaluation process.
- Line management determines and documents appropriate training requirements for each position in accordance with the Laboratory Training Office (LTO) Training Program Requirements and Guidelines handbook and other relevant guidance from LTO.

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Requirements, Continued

Personnel training and qualification
(continued)

BUS shall develop a procedure for use by line management in determining basic qualification, certification, and training requirements for its employees, developing or selecting appropriate training, documenting training plans and results, and utilizing training resources to assist in assuring its employees' qualification and professional development.

Quality improvement

BUS will adopt quality improvement processes by documented plans and procedures as necessary to detect and prevent quality problems. Peer review of work output, management reviews, effectiveness assessments, root cause analysis, safety appraisals, suggestion programs, corrective action programs, nonconformance reporting systems, and continuous quality improvement (CQI) methodologies are examples of quality improvement processes that may be appropriate to address this criterion.

BUS Division will continue to establish CQI teams to identify and implement ideas to improve the quality of the Division's work processes. The BUS Division P-D-C-A (Plan-Do-Check-Act) Handbook provides all employees with a mechanism and guidance for establishing and conducting improvement initiatives.

Documents and records

Documents generated subject to this Program will be prepared, reviewed, approved, revised, and distributed in accordance with the Laboratory Program Requirements Document (PRD115-01.0), Document Control.

Records generated subject to this Program will be prepared, reviewed, and maintained in accordance with the Laboratory Program Requirements Document (PRD115-02.0), Records Management.

A Records Management and Document Control (RMDC) Coordinator will be appointed by the BUS Division Office. The RMDC Coordinator will have primary responsibility for establishing systems and procedures necessary to implement the Laboratory document control and records management program within BUS Division. The RMDC coordination function is assigned to BUS-7.

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Requirements, Continued

Work processes	<p>Personnel performing work are responsible for the quality of their work. Personnel shall be knowledgeable of requirements for work they perform and their role in supporting work processes. Line managers and team leaders are responsible for ensuring that personnel working under their supervision are provided the necessary guidance, training, development, coaching, and resources to accomplish their assigned tasks. Work will be planned, authorized, and accomplished in accordance with standards, instructions, procedures, or other appropriate means in a detail commensurate with the complexity, risk, or importance associated with the work. Work-related instructions, procedures, and other forms of direction shall be developed, verified, validated, and approved by qualified personnel.</p> <p>The Laboratory Administrative Manual, Section 701, and the Laboratory Property Management Manual, Section 1, describe how BUS Division identifies, controls, and maintains responsibility and accountability of property and items controlled by the Division and how BUS Division controls the handling, storage, shipping, and maintenance of property and items to prevent damage, loss, or deterioration. The Property Management team of BUS-6 has primary responsibility for implementation of these requirements within BUS Division.</p> <p>A calibration procedure is maintained for BUS Division by the BUS-4 Group Office to control the calibration, maintenance, and use of measuring and test equipment in areas where monitoring or data collection is required.</p>
Design	<p>BUS Division does not undertake design activities. This criterion is not applicable to BUS Division.</p>

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Requirements, Continued

Procurement

Where procurements are initiated by BUS Division, the BUS requester is responsible for establishing controls to ensure that purchased materials, equipment, and services conform to procurement documents, specifications, work statements, and applicable codes and standards. BUS Division will develop a requisitioning procedure governing initiation of quality-related procurements by BUS personnel. The BUS requester will verify that items and services comply with technical and quality requirements of procurement documents. Methods of verification will be appropriate to the requirements of the specific procured item or service and may include one or more of the following:

- Supplier evaluation and qualification;
- Receipt inspection;
- Objective evidence of quality (i.e., certification of conformance); and/or
- Source surveillance and audit.

A primary business activity of BUS Division is procuring materials or services for the Laboratory and its programs. Requesters external to BUS Division have the responsibility of determining the quality assurance requirements applicable to their specific procurements and providing these with the purchase requests. The Procurement Group Leader is responsible for addressing quality assurance in these activities.

BUS Procurement is responsible for ensuring that specification, statement of work, quality inspection, and acceptance criteria and requirements are incorporated into requests for quotations or proposals (RFQs/RFPs) and resulting contractual documents and for ensuring that suppliers acknowledge their acceptance of such requirements. Verification of conformance of purchased materials and services to procurement documents, subcontracts, design documents, work statements, and applicable codes and standards may be required by BUS customers in their purchase requests. The Division's role in support of verification activities such as source evaluation and selection, receipt inspection, obtaining objective evidence of quality, and source surveillance and audit activities is defined in Procurement Standard Practice (SP) 46.1, Subcontract Quality Assurance.

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Requirements, Continued

Procurement (continued)	A graded approach (see Implementation) will be used to determine the necessary level of control to be established for each procurement or class of procurements.
Inspection and acceptance testing	<p>The ultimate responsibility and accountability for determining quality assurance requirements and inspection and acceptance of materials and services procured by BUS Division reside with the individual or organization requesting the procurement (requester). The purpose of inspection is to verify conformance with specified contractual requirements. Acceptance is an indication of the requester's finding that there is conformance. In developing its requisitioning procedure, BUS Division will establish guidance to BUS personnel to ensure accomplishment and documentation of inspection and acceptance.</p>
Management assessment	<p>BUS management shall periodically assess the BUS Division Quality Program and its performance. The thrust of this assessment shall be to identify, correct, and prevent problems that hinder the achievement of the Quality Program's objectives and to identify opportunities to improve the Quality Program. The purpose of the management assessment is not only to verify conformance to regulations, but also to evaluate customer and employee perceptions relative to the following key issues:</p> <ul style="list-style-type: none">• Purpose and strategic objectives;• Employee roles in the organization;• Customer expectations and degree to which expectations are being met;• Opportunities for improving quality and cost effectiveness;• Recognizing and enhancing human resource capabilities;• Evaluation of the adequacy of resources available to accomplish objectives; and• Adequacy of measures of organizational performance. <p>The timing and methodology to be employed in conducting management assessments shall be documented in a management assessment procedure. Management assessments shall be documented and decisions and related actions resulting from assessment recommendations shall be monitored to evaluate their effectiveness.</p>

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Requirements, Continued

Independent assessment

Planned and periodic independent assessments may be conducted by independent Laboratory groups and/or by DOE to measure item quality and process effectiveness and to promote improvement. Organizations performing independent assessments shall have sufficient authority and freedom from BUS Division to carry out their responsibilities.

BUS Division has chartered an External Advisory Committee (EAC). This committee is composed of individuals who are external to BUS Division and who possess expertise in the various business services provided by BUS. A purpose of the EAC is to provide independent feedback on BUS strategies and performance.

A procedure shall be developed to address BUS facilitation of independent assessments; documentation of results; and tracking, resolution, and documentation of corrective actions resulting from observations or deficiencies noted during such assessments.

Responsibilities

Division management

The BUS Division Director, assisted by the Deputy Division Director, has overall responsibility and accountability for establishing the purpose, policies, and objectives of the Division and for management and independent assessment of the Division's performance.

Group leaders

Group leaders report directly to the Division Director and are responsible and accountable for the management, performance, and assessment of the business functions and operational roles assigned to their respective groups. These activities include providing leadership, supervising assigned employees, coaching, providing employee development, planning, allocating resources, interfacing with other organizations, verifying compliance, establishing performance responsibilities and standards, assessing performance, ensuring that problems are corrected, and leading improvement efforts.

A critical responsibility of group leaders is integration of the strategic initiatives of the Division into the day-to-day work of their groups. Group leaders shall also ensure that recognition and performance evaluation of employees is aligned with the strategic initiatives and quality objectives of the Division.

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Responsibilities, Continued

BUS Quality Coordinator

BUS Division is supported by a Lead Quality Assurance Specialist who serves as BUS Division's Quality Coordinator. The Quality Coordinator is assigned to BUS Division by and reports to the Laboratory Quality Assurance Support group (ESH-14). The Quality Coordinator will assist the Division by coordinating the implementation of the BUS Division Quality Program. Additionally, the Quality Coordinator will:

- Assist in the development and application of quality concepts and controls in a manner that contributes to the attainment of the Division's quality objectives;
 - Represent the Laboratory Quality Assurance Support Group in interpreting policy and Quality Program requirements and provide necessary reviews and approvals;
 - Assist line management in developing quality plans and implementing procedures;
 - Assist in the implementation of commitment tracking systems related to Quality Program requirements; and
 - Interface with other Laboratory quality organizations on issues of common interest.
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Implementation

Resource requirements	BUS Division possesses expertise in the business operational fields for which the Division is responsible. The Division's Business Planning and Analysis group (BUS-3) contains policy specialists to assist in development of policy and procedural guidance. The Division's Systems Support group (BUS-7) provides support for the Division's automated data and records systems. The Laboratory Training and Development (T and D) group provides training services and maintains a CQI Resource Center. A human relations specialist assigned to BUS by the Laboratory's Human Relations (HR) Division supports line management in personnel matters. Quality assurance personnel assigned to BUS Division by the Quality Assurance Support group (ESH-14) support Quality Program development efforts.
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Management assessments of the effectiveness of the BUS Division Quality Program shall include consideration of the adequacy of available resources (see Management Assessment).

Graded approach	Not all materials, items, processes, and services have the same effect on safety, performance, or reliability. Decisions on the degree to which Quality Program requirements are applied to specific operations or activities of the Division will be made using a graded approach that considers the complexity of the operations or activities and their effect upon safety and accomplishment of the Division's purpose.
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Implementation	Progress toward implementation of the BUS Quality Program will be the subject of management assessment (see Management Assessment).
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Measures of performance	Performance will be measured by both management and independent assessments of the progress achieved and the effectiveness of actions taken in meeting the requirements and achieving the quality goals expressed in this Quality Management Plan.
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References

References

The following list of reference documents is not intended to be all inclusive. The documents listed are those that most directly provide the framework for the BUS Division Quality Program.

- BUS Division Business Plan
 - DOE Order 5700.6C, Quality Assurance
 - Prime Contract W-7405-ENG-36
 - Los Alamos National Laboratory, Director's Policy 110, Quality
 - Los Alamos National Laboratory, Quality Management Plan, PRD110-01.0
 - Los Alamos National Laboratory, Document Control, PRD115-01.0
 - Los Alamos National Laboratory, Records Management, PRD115-02.0
 - Los Alamos National Laboratory, Administrative Manual
 - Los Alamos National Laboratory, Property Management Manual
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